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ABSTRACT

This paper outlines the context within which university archives developed and discussed the functions, processes, and problems involved in the operation of university archives. An introduction to the history and purpose of archives in human society is followed by a discussion of the role of the charter or policy statement in establishing an archive's mandate and structure. The various types of archival records and means for acquiring them within a university are described, and the arrangement of materials within a university repository, the principle of provenance, and the appraisal and description of records are outlined. The requirements resulting from the growth and utilization of a university archive are also reviewed, as are the major issues involved in planning for an archival facility. A list of the most frequently used archival terms is appended. (JL)

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UNIVERSITY ARCHIVAL ADMINISTRATION

FROM ANCIENT TO MODERN TIMES

UNIVERSITY OF PITTSBURGH
OF THE COMMONWEALTH SYSTEM OF HIGHER EDUCATION

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Introduction

"A distinct characteristic of man is the need to communicate and record knowledge. The tools of communication have ranged from clay to satellites. Civilized societies have taken great pains to place recorded knowledge in safe places and create archives ... for this purpose. The importance of recorded knowledge for survival and progress is constantly being elevated as more and more information is presented. Without information and its necessary control, a society is not only stagnant, but regressive. With social memory, preserved and controlled by archives and libraries, a society is able to evolve to whatever future it is destined to experience in an ever-changing environment.

Archives were the forerunners of libraries. The ancient archives contained the best of society's accumulated knowledge ... archives and libraries preserve the memory of civilization and pass this memory on to living individuals. The materials in these institutions contain the written and graphic record of social memory and human heritage and provide society with information on which to base actions, develop policies, ascertain rights, educate, and entertain."[1]

The term "archives" designates the body of records produced by an entity in the transaction of its affairs and preserved by it, its successors, or by an authorized repository. Archives, as they are understood today, date from the French Revolution although something of archival administration can be traced from antiquity. The French National Archives were established in 1789 and became the first body to have a unified

[1]Robert L. Clark, ed., Archive-Library Relations. (New York: R.R. Bowker, 1976), p. ix.

administration of archives.

The early libraries and historical societies in the United States entered the field of archives because a vacuum existed, whereas the opposite situation prevailed on the European continent. There the archival agencies were established earlier than libraries. The archival movement in the United States got under way in 1884, when the American Historical Association was formed, and by 1900 the Association had an annual conference of archivists. Following the European tradition, the primary concern was the establishment of governmental archive repositories, both state and federal. The first meeting of international importance to archivists was the International Congress of Archivists and Librarians held in Brussels in 1910. Some of the issues discussed were much the same as those which confront archivists today (archival acquisition of academic dissertations, archival education and training, archival methodology and administration, bibliographies of finding aids, access, architecture, and exhibits). The reports and discussions laid the foundation for presently accepted standards and practices of archives. Waldo Leland, a leader in the establishment of the American archival profession, spoke in 1912 about the United States being ahead of other countries in library science but falling behind in archives. He predicted that the time would come when the United States awakened to the realization of the value of archives. The symbol of achievement in the early years of the movement in the United States was undoubtedly the opening of the National Archives in 1935. The archivists broke away from the historians in 1936 and founded their own organization calling it the Society of American Archivists. This new society formally recognized the interest in academic archives by establishing in 1949 the Committee on College and University Archives; however, the predominant

interest of the Society has been with governmental archives.

University archives were slow to develop in the United States and are a relatively recent development. The Harvard archival program was formally established in 1938 although an informal program had been in evidence for some 200 years. By that time Harvard professors and librarians had accumulated about 10,000 boxes of purely archival material and more than 30,000 volumes consisting of university publications and books by and about Harvard and Harvard men. Programs had been existing on an informal basis all over the country for years as presidents, administrative officers, professors, and librarians gathered documents and printed materials and squirreled them away in a variety of nooks and crannies---from furnace rooms to closets and attics. Since the establishment of Harvard's program, university archives have received more and more attention. The literature indicates that by 1966 some 600 institutions in the United States and Canada had established archival programs.

The term "archives" has led to confusion in the professional literature because it indicates not only the records but also the place where they are preserved. T.R. Schellenberg in his book Modern Archives, uses the term "archival institution" to designate the place and "archives" to refer to the records themselves.[2] There also appears to have been considerable ambiguity about the nature of archival collections due, in part, to the fact that the differences between historical manuscripts and archival collections have not been recognized and defined. There has also been confusion regarding the administration of the two types of materials. One could say that the one-sided emphasis which has been placed on the

[2]Theodore R. Schellenberg, Modern Archives; Principles and Techniques. (Chicago: University of Chicago Press, 1956), p. 11.

acquisition of historical manuscripts has retarded the development of archival programs. Even though the development of university archives has been slow, considerable progress has been made in developing the theory and practice of archival administration.

ARCHIVAL MANDATE AND STRUCTURE

Informal university archival programs are now slowly giving way to formally authorized programs. For a century or more, people in academic institutions have been collecting material on the history of their institutions but much of this material was historical rather than archival. During this early developmental period, it was discovered that institutional units were producing original source materials in the day-to-day performance of their functions. Some of it would eventually become archival, so it was necessary to give thought to the treatment of these records once they ceased to have current administrative usefulness. A body of knowledge on the theory and practice of the administration of archives grew out of the experience of collecting and the problems of handling these materials.

Based on the years of experience in handling archival programs it is now possible to state that the basic element necessary for a successful program is the archival charter, document, or policy statement. The first step is the development of a favorable or positive attitude among key faculty and administrators; this is especially important if the archive is to collect faculty papers. The next step is the formulation of a policy statement regarding the institution's archives. Finally, the adoption and promulgation of the policy statement and any major supporting regulations

should be by action of the governing board, the president, or some other authority empowered to act. University archives which have the sanction of the highest possible authority have distinct advantages because, in order for an archival program to be truly effective, the program must have administrative support. Until the archivist has a strong delegation of powers, he is really not in a position to do anything. Ideally, this support should take the form of an approved policy statement to the effect that all records created in the performance of administrative duties are the property of the university and cannot be destroyed without the approval of the administrator in charge and the university archivist. The following policy statement has been developed as an example of the type necessary for an appropriately administered archival program.

> The University has a responsibility to the academic community and to the public for the preservation of records containing evidence and information with respect to its origins and development and the achievements of its officers, faculty, and students.
>
> Recognizing the importance and permanent value of many of the University's official files, records, and documents, the University has established the University of _____ Archives to ensure the preservation of these materials. Similar programs have been established and approved by the governing boards of other distinguished universities.
>
> All administrative officers of the University, including members of the faculty whose performance of administrative duties puts them in possession of files, records, or documents pertaining to their official duties, are requested to observe the following regulations:
>
> 1. The records of the official activities of the university officers and offices are the property of the University of _____.
> 2. Such property is not to be destroyed without the approval of (a) the officer in charge of the department where the papers accumulate and (b) the University Archivist.
> 3. The officer in charge of each administrative office determines when records cease to have current administrative value. The archivist will thereupon

determine which of these records have permanent value to the University and shall arrange for their systematic transfer to the University Archives.

4. The Archivist shall consult with the administrative officers to determine the type of restrictions to be placed upon the use of confidential records.

5. The President of the University may add such further regulations and directives as may be necessary or appropriate.

There appears to be little uniformity in academia in the external organizational structure of archives, due to such factors as the history of the repository, the objectives of the institution, the nature of the collection, the financial support given by the administration, the governmental relationships, and the existing personnel. The administration of university archives often falls under the library's jurisdiction but in some instances the archivist answers to the president, a vice-president, the secretary, the registrar, the business office, or even the university lawyer. There are instances where the university archives comprise an independent agency.

In this country, some of the earliest programs were identified with the library, and the librarian or one of his subordinates was designated as archivist. Some of the most successful programs have developed under this system, especially where the archives have been given considerable autonomy. In some instances, where the archives have been placed in a subordinate agency, the layers of bureaucracy are so thick that the archival program has hardly any visibility. The present trend appears to indicate that the archives should be identified with the president or a member of the central administration. This trend may stem from a realization of the differences between archival and library holdings, it may be the result of the prevalence of records management programs which seem

to give the impression that records ought to be managed by the central administration, or it may stem from the notion that a direct relationship with the administration would make funds easier to come by. Whatever the cause of the trend, if it continues and thereby gives the programs and the archivists greater visibility within the institutions, the effects will undoubtedly be on the positive side---the improvement of archival programs and the continuing development of professionalization of archivists.

In the field of government, divisions are usually placed in the hierarchy commensurate with the functions which they are required to perform and the responsibilities which they must carry. If the principle is applied to university archival activities, the agency ought to be given a place in the administrative structure which will enable it to deal effectively and independently with all the units in the institution. Thus, the agency should be an independent one capable of dealing independently with all departments and subject only to the control of an administrative official or the governing board.

If it is the policy of the university that the archival agency should be subordinated to another agency, such as the library, arrangements should be made in order to ensure effective performance. The archival program should be treated as separate and distinct within the subordinate agency, the responsibilities of the archivist should be clearly defined, and there should be a definite earmarking of funds. The "proper" location of the archival agency in the university structure means a great deal to the archivist in the performance of his duties.

Regardless of the lack of uniformity in the external organizational structure of archives, there is a great deal of similarity in the internal structure and administration of university archival programs despite staff

size, which can range from a single archivist (or less) to a staff of more than ten. Although each institution is "peculiar", all may follow certain generally accepted practices. As long as the staff is small, each person will take his turn dealing with routine matters but as the collection and the staff grow it is likely that the archivist will spend most of his time on acquisitions, public relations, and development.

The elements of university archival administration include organization, planning, budgeting, staffing, directing, and coordinating. Budgeting will, in most cases, be in the hands of the administrative unit under which the archives falls unless it is structured as an independent agency. This paper deals largely with the two most complex aspects of archival administration---organization and planning.

ARCHIVAL RECORDS

Archives are the official records of a corporate body. University archives are the records of enduring value which have been created by an institution as it accomplishes in official ways the purposes for which it exists. Archives are created by the planned activities related to university life which are carried on by administrators, faculty, staff and students. These records have a life history proceeding from the current (active) to the noncurrent (inactive). It is at the point when the records become noncurrent that they become archives. University archives serve not only as a depository of the historical documents and official records of the institution but also for the private papers of those who created the documents and records. The official records are all the records, documents, correspondence, accounts, and files of the various offices, departments and schools, manuscripts, the publications (monographs and series published

by the University press, academic departments, and centers, bulletins of course offerings, information circulars, theses and dissertations, official publications of the student organizations and alumni associations, etc.), tapes, photographs, drawings, and any other material bearing upon the activities and functions of the university or its officers and employees, academic or non-academic. One of the best rules to follow in determining what types of material constitute university archives is that anything produced by the university in an official way is purely archival and any material about the university is non-archival.

The private papers of teaching and research faculty comprise a very important and interesting segment of university documentation. The full story of the academic community can be well represented in documentation accumulated by outstanding faculty members, as well as an individualized view of higher education. Faculty members have been, to a great extent, responsible for the creation and development of the academic disciplines and have a great deal of knowledge about subject areas. The University of Illinois Archivist has stated that "no other type of institution has as many individuals whose records should be preserved. Faculty papers provide a personalized account of institutional development and research accomplishments. They include correspondence; clippings and scrapbooks; journals and notebooks; press releases; manuscript copies of papers; talks and addresses; research notes; photographs; programs; instructional materials - such as syllabi, notes, examinations, texts and slides; professional organization files; publications and subject reference files of catalogs, brochures and reprints."[3]

[3]Maynard J. Brichford, Scientific and Technological Documentation (Champaign-Urbana: University of Illinois, 1969), p. 13.

Most university archival programs collect faculty papers to some degree but there is an indication that few do so with any kind of determined effort due to the constant pressure of space and the lack of staff. If an effort is to be made to collect faculty papers, the archivist should periodically send out letters to active faculty, retiring faculty, and emeriti indicating the importance of the papers of past generations of professors as an historical record, the kinds of papers of interest (such as diaries, correspondence, and lecture notes), the kinds of papers which are not of interest (such as income tax returns, unorganized research notes, or manuscripts of published works), the possibility of inclusion of a clause in the will leaving papers (and if possible literary rights) to the university, and restrictions which may be imposed. Restrictions in the use of materials should be discouraged but will at times be the only way papers of important faculty can be acquired. A more personal type of letter could be sent to the heirs of deceased professors. "'Personal papers relate a man's academic career to his total interests and constitute an important historical record. They offer intimate contact with a mind and a personality.' This intimate contact is sometimes rejected by the family. Some years ago, Dr. Shipton [Harvard Archivist] wrote to the son of a well-known philosopher asking for his father's private papers to add to the professional papers already on deposit... The son replied that the private correspondence between a father and his sons, or his wife, was not intended for the public and should never, in the case of this philosopher, be published or pawed over. Dr. Shipton replied to the professorial son, saying that he appreciated his point of view in regard to his father's papers but that history proceeds on the assumption that every scrap of evidence regarding such a man is of importance:

> In writing history or biography, we take the point of view that such a man, by his greatness, has forfeited the right to personal obscurity. When his public work and published thoughts are of such importance to the world at large, the light which may be thrown upon them by his personal correspondence and his private diaries assume a special importance which we feel overrides the question of modesty. Of course, families to whom these great men were father or brothers can rarely see the material in this light, although they would readily admit the validity of the historians' practice, if the private papers of Plato or Spinoza were involved.

Dr. Shipton ended his letter saying, 'I haven't much hope of convincing you to this point of view, but I state it to explain my original request."[4]

An archivist must be concerned about his relationships with faculty "because academic staff members are both important sources and users of archival materials. They are sources in that they donate their personal papers; transfer institutional records to the archives in their capacity as university officers; generate most of the significant records of the university as teachers and researchers; and provide the good will essential to insure that the papers of their colleagues, students, and alumni will be deposited in the university archives. They are users in that they engage in scholarly research based on archival sources, introduce research assistants and graduate students in their seminars to archival research, assign research papers requiring undergraduates and graduates to use archives and bring the resources of the archival program to the attention of colleagues in other institutions."[5]

An archivist operating as keeper of the permanent records of the institution does not have the acquisition problems of a librarian. There is no need to purchase materials because they are already owned by the

[4]Harley P. Holden, "Collecting of Faculty Papers," Harvard Library Bulletin 19 (April 1971): 189-190.

[5]Maynard J. Brichford, "University Archives: Relationships with Faculty," American Archivist 34 (April 1971): 173.

institution and are merely transferred to the archives when they are retired. The librarian selects from a universe of books those which are desirable to add to the collection and has little concern about those not selected. The unselected books are then available to other institutions with other collection policies. On the other hand, the archivist is the inheritor of all the records created by the institution so a decision on what to retain implies the opposite responsibility--to decide what to dispose of and therefore what is permanently lost. This adds a dimension to the job not shared by librarian colleagues.

RECORDS SCHEDULING

A good university archival program begins with the recognition by the archivist and an understanding by administrative officials that many of the records produced do not have permanent evidential or informational value and should never be deposited in the archives. Current records that are frequently used belong in the office that uses them and noncurrent records without further value should be destroyed. One of the first duties of the archivist setting up an archival program is to study the history of the institution in detail, particularly the administrative organization. The value of such study is to identify groups of records of legal, administrative, or historical significance. In consultation with the official in charge of records, the archivist will be able to establish a retention and disposal schedule. Such a schedule is a document which lists the records which are maintained in each office, specifies the length of time records are to be retained in the office files, and indicates whether noncurrent records should be transferred to a records center storage area (if there is one), transferred to the archives for preservation, or destroyed.

"The final judgment as to which records will be retained permanently must be made by the university archivist in consultation with the administrators in charge of the various university offices. There are, however, some basic criteria upheld by the archival profession. The first consideration is the 'evidential values' of records. To determine these values, it is necessary for the archivist to be very well acquainted with his university and its subdivisions. He selects those records for permanent retention which contain evidence of how the university is organized and how it functions. The 'evidential values' of these records are judged by their relationship to other records produced by the university, and these records are evaluated in groups rather than individually... The records produced in some offices are more important than others. In general, the 'evidential values' of records can be assessed according to their place in the hierarchy of the university and their significance for a particular function of administrative importance. Certainly those records which discuss policy matters are more important than those of a routine or housekeeping nature. The latter are not usually retained unless a limited quantity would provide evidence about an important procedure. In such a case the technique of statistical sampling may be applied.

The second consideration is the 'information values' of records. The only thing that matters here is the amount of factual data records contain regarding persons, places, events, and subjects... In appraising 'information values' it is necessary to have a knowledge of research sources, needs, and methods as distinct from the knowledge of administrative history required to determine 'evidential values'."[6]

[6]Dellene M. Tweedale, "Procurement and Evaluation of Materials for a University Archives," College & Research Libraries 26 (November 1965): 520-521.

Admittedly, the setting up of schedules will be a difficult and time consuming task but the reward will be a well-regulated system of retention and destruction. The only effective schedule is one which meets the needs of the particular office. Schedules which have been produced in cooperation with the officials in charge of an office are more likely to be observed than those which are dictated. Once such schedules are prepared, an office staff can easily identify groups of records that should be periodically removed from the office files and either transferred to the archives or destroyed.

RECORDS TRANSMITTAL

There are two steps which must take place before the actual transmittal of the records to the archives: packing and inventorying. In order to simplify the archival operations and to insure uniformity among the shipments from the various offices both of these steps should be routinized. Standard-size archival storage containers should be provided so records are not sent to the archives in file cases or odd-sized cartons. The standard-size containers (inside dimensions of ten inches by twelve inches by fifteen inches) allow for the most efficient use of archival storage space. An archival center which has been carefully planned will have taken these dimensions into consideration. The number of containers an office will need can easily be determined because two containers will accomodate one legal-size filing drawer and two letter-size filing drawers will fill three containers. If files are either larger or smaller, special containers can be purchased to accomodate the materials but advance notice should be given so the proper sized containers are in stock.

If records are to be easily referenced, they must be packed properly, i.e., they should be placed in the containers so that the existing file arrangement is not disturbed. Screening or weeding of office files at this point should be discouraged. The containers should be clearly and properly labelled so there won't be any inter-mixing of files once they arrive at the archival center. Each label should indicate the name of the transmitting office, a brief identification of the records, and the container number, i.e., number three of twenty, etc. The transmitting office should also submit a brief inventory of the items in each container. The ideal inventory would briefly list every file folder title in every container as well as the name and telephone extension of the person responsible for the preparation of the shipment. The inventory should be completed in duplicate so that a copy can be retained in the transmitting office. The completion of the inventory is the most important step in the transmittal of records because it will be the only finding aid available until the archival staff has fully processed and indexed the records. The transmitting office can use this inventory when requesting information from files sent to the archival center.

ARRANGEMENT

The librarian catalogs and classifies a book; the process consists of selecting a classification designation which locates a book according to a prearranged universal scheme. An archivist has no such universal scheme with which to work but must develop a unique scheme based on the administrative structure of the institution. From an archival standpoint, the records of an institution cannot be classified but they are

arranged. Arrangement, rather than classification, is the term which should be used in archival work.

The archivist should set up record groups and sub-groups based on the institutional structure, for it is necessary to have a well-defined scheme before anything can be accomplished as far as records control is concerned. A responsibility of the archivist is to make the primary source materials available for research use and this cannot happen without an administrative arrangement scheme. Each office, division, or department will have its own filing arrangement and it is the archivist's responsibility to identify these patterns. The written description of the records should closely follow the administrative structure of the institution at various points in time. The description will proceed from the records of the board of governors, the president, treasurer and so on through the infrastructure. The information is so complex that it cannot be easily subject classified and entered on a catalog card. The complexity of the describable units involved is the reason why no form of library cataloging and classification techniques has been adapted.

"An archivist should ... analyze a body of records as a whole, before proceeding to arrange any of its parts. European archivists have been wont to compare the procedures of an archivist in arranging records with those of a paleontologist in arranging the bones of a prehistoric vertebrate. A paleontologist analyzes each bone and its use, on the basis of his knowledge of its structure and the functions it served, into its proper place in a skeleton. An archivist proceeds in a somewhat similar manner. He generally deals with skeletal remains of a number of organic bodies. He fits together individual documents and series on the basis of his knowledge of the structure and functioning of

the body that produced them. To understand an archival group ... an archivist should analyze it carefully in order to know its organization and to distinguish its constituent elements. He should obtain a general knowledge of its meaning or essential nature and its structure before proceeding to deal with its parts. Arrangement ... should proceed from an understanding of the whole group or collection; it should not be started on a piecemeal basis."[7]

An archivist should establish a general archival group for each organic body and also establish groups for its major organizational units. The general group would include all records that relate to the organic body as a whole. In university archives the general archival groups would be for the records of the university, of the president's office, etc., to which could be added any documents that relate to the entire university. The records which are created by units within a larger body are considered subgroups of an archival group. First, each archival group should be maintained as an integral unit and not allow any intermingling with other groups. There should be deviation only if security or special equipment is necessary. Secondly, the archivist should arrange groups so that they reflect the organizational structure of the body that created them. If a record group is particularly active there is some justification in placing it out of its normal position. Thirdly, the archivist should arrange subgroups so that they reflect the organizational structure of the body that produced the archival group of which they are a part. Subgroups representing the highest administrative order should come first, with other subgroups arranged in descending order of

[7]Theodore R. Schellenberg, Management of Archives (New York: Columbia University Press, 1965), p. 87.

authority. It may be difficult to maintain a hierarchical arrangement when units pass through successive organizational changes. Subgroups of a predecessor unit should be placed before those of its successor.

An arrangement will have to be devised which is broad and allows for flexibility since a scheme cannot be devised that will anticipate all the record groups that exist or will exist at some future time. The examples listed below illustrate record groups designated for major administrative functions which apply to the whole university:

The University
The governing board
Research
Business management
Development services
Student services
University libraries

A university administration is consolidated but students, faculty, and alumni are connected with individual schools and colleges and their activities belong to the individual schools rather than to the university in general. These schools and colleges should have separate listing within the arrangement scheme. There will probably be institutes and centers which are not included in the administrative structure of a school and they should be assigned separate record group designations.

In most instances, record groups will be divided into subgroups to indicate areas of interest within the record group, such as administrative office, publications, faculty, students, student publications, student societies, special events, buildings, alumni activities, donors, etc. It may be desirable to further divide the subgroups with some type of form division. As an example, publications could be divided by catalogs, professional publications, brochures, directories, histories, proceedings, handbooks, reports to the public, etc. The archivist must always keep

in mind that whatever the arrangement within a record group, provenance cannot be ignored.

It could be said that published matter is subject oriented while archives are source oriented. For the archivist source may be more impertnat than subject; source is actually the archivist's approach to subject. The archival concern for source, called the principle of provenance, and the preservation of the original order comprise the two primary doctrines of archival administration.

THE PRINCIPLE OF PROVENANCE

The body of archival documents created and preserved by an agency is referred to as a record group in the United States, and in French it is referred to as the fonds. The first archival principle is that the archives of a given creating agency must not be intermingled with those of another agency. The French call this principle respect des fonds. The second principle is that the archives of the creating agency should be retained in their original order, which reflects their growth and use. This principle of the sanctity of original order is called l'ordre primitif. These two principles add up to what archivists know as provenance or the respect of archival integrity. This principle of provenance was formulated at the French National Archives in the early nineteenth century and became a guiding principle in Europe; it was brought to the United States in the late 1890s by an archivist trained in the Netherlands. He applied the principle to the state archives of New York by arranging the records by departments instead of the formerly used chronological arrangement. The principle is now generally applied in archival repositories.

ARCHIVAL DESCRIPTION

The techniques of archival description have evolved slowly in the United States. In the last century there was the tendency to describe single documents whereas today the policy is to describe whole record groups and collections through inventories, guides, and more detailed finding aids. As early as 1909 general guides were used to describe an entire body of archives. Some archives have gone beyond trying to establish control at the file folder level (which is the generally accepted procedure) and have tried to generate a type of calendar which individually describes each item in the file along with a brief abstract describing the intellectual content. A calendar of this sort may be very useful for the researcher but it is extremely wasteful of staff time and cannot be justified except for the most important material.

The arrangement and description of a record group and the development of a comprehensive finding aid are the critical procedures carried out to make the records usable. The finding aids developed by the archives are the key to the utilization of any particular group of records and the finding aids serve collectively as the tool for utilizing the holdings of an entire repository. The finding aid is essentially a tool describing the various groups and subgroups that are really the organic parts of institutional or personal papers.

Librarians often find it difficult to switch from library to archival methods because they are accustomed to dealing with discrete items which are classified by subject while archivists must deal with a group of records. In order to manage records properly, librarians who become archivists must change their thinking about methodology and deal with collective units that have an organic significance. The work of an archivist

is more analytical and less technical in character than that of a librarian. Archival materials are analyzed from a substantive point of view to a much greater degree than library materials.

ARCHIVAL APPRAISAL OR EVALUATION

One of the most significant archival functions is the appraisal of the mass of source material to select that portion that must be preserved. An important aspect of records appraisal is a thorough knowledge of the functions of the office that created the records. Such information can be secured by reviewing the university bulletins, accreditation reports, histories of the school or department, and any notes made by the archivist during a visit to the particular office. These sources will orient the archivist to the organizational development, functions, policies and procedures of the office creating the records. It is the responsibility of the archivist to determine which records have sufficient value to justify the cost of permanent preservation in archival custody. If a records retention and disposal schedule has been established this task will be lightened considerably since those records which are not to be retained will not have been transferred to the archival center. It has been estimated that in large universities at least 90 per cent of the paperwork generated does not have archival value. The archivist must assess present and prospective research interests in relation to the documents which have been created. This function presents an enormous challenge to the archivist because he will have to work in all the academic disciplines and scientific specialties. While the archivist bears the primary responsibility for the appraisal and preservation of source material, success will depend on the extent to which the guidance and support

of others can be enlisted. "The archivist seeks those records with the greatest research significance, covering the broadest range of activities for the longest time, with the smallest volume of the most easily understandable records. He seeks records of policy decisions, records which reflect the functions of the organization, or the interests of the individual, and which are representative of a significant range of institutional or individual activities. He may select other records for their informational content. Their value is primarily as well-organized, accessible sources of useful factual data ... The most difficult task in archival evaluation is deciding that a record is not likely to be needed for scholarly research. Here the archivist must look at current scholarship, research trends and his own experience in research work ... The basic evaluation decision is to keep a record series or file. It is based on an appraisal of the research significance of the originating organization or office whose records constitute an archival record group or subgroup."[8]

If a series of documents is to be retained, it is inadvisable to extend the appraisal process beyond folders to the individual documents except for the removal of duplicates and easily identified classes of documents. General guidelines for the appraisal process are as follows: papers that should be retained--those that grow out of the administrative working of the office and are necessary items in understanding how that office operated and what it accomplished, working papers of decision making bodies within that office, information on individuals and events for which that office was primarily responsible; papers that need not

[8]Maynard J. Brichford, Scientific and Technological Documentation (Champaign-Urbana: University of Illinois, 1969), p. 3-5.

be retained--those which originated in other offices and were broadly disseminated for general information, items which just happen to be among the records and which really have nothing to do with the operation of the office, housekeeping records, duplication of letters, forms, reports, etc. "Disposal ... is indeed far from being a simple matter. It involves nothing less than an attempt to judge the future need of scholars... No change in the role of the archivist is more significant than the way in which circumstances are forcing him into a position in which he has a life and death control over much of the material. And the decisions involved can rarely be postponed. The volume of records is frequently so great that delays may be costly and even impracticable. The archivist must select--and select promptly--or lose all."[9]

All institutional publications should be received in the archives as a routine matter and need only be identified by source before adding them to the appropriate record group. Publications will include student newspapers, yearbooks, catalogs, timetables, brochures, conference proceedings, colloquia, bulletins, monographs, alumni newsletters and the like. These publications can serve as reference for the activities of the campus, provide background on programs and supply information to the press for news releases. As the archival collection grows in quantity and quality it develops historical importance as a gauge of the university's growth and development.

[9]W. Kaye Lamb, "The Changing Role of the Archivist," American Archivist 29 (January 1966): 66.

GROWTH AND UTILIZATION

The prime justification for the growth of the archives is the needs of researchers, and growth depends on the demands of researchers. A great deal of space is required to preserve the source material on a university campus and until adequate space is provided the archives will need to pursue a cautious acquisition policy. Archivists should not acquire material that cannot be processed in a "reasonable" length of time. Well-planned archives will not lose sight of the primary obligation of preserving and providing access to historically important documentation and will not become a dumping ground for inconsequential material.

University records that have been deposited in the archives will require occasional administrative reference. Usually three types of reference service will be required: (1) information from the deposited archives, (2) copies of deposited records, or (3) return of the records to the transmitting office. The speed of archival reference service will, in many cases, influence the future deposit of records. The success of the archives is frequently based on an assured and proven record of reliable reference service.

Cost-saving is also an influencing factor in the growth and success of the archives. The archivist should demonstrate the possibility of savings when records are regularly transferred to the archives. "In a university office, the cost of metal filing equipment large enough to store one cubic foot of records---about twelve hundred individual documents---is about thirteen dollars [1974]. In the standard records container used in combination with appropriate shelving, the same cubic foot of records can be stored for less than fifty cents ... A well-organized archives can utilize a shelving arrangement designed to achieve maximum utilization of available space, frequently storing over forty

thousand documents in the amount of floor space occupied by a metal file cabinet that can hold only ten thousand... In an age of budgetary constraints, these facts speak eloquently for themselves."[10]

University archives also serve a research function for faculty, outside scholars, and students. Besides utilizing the archives for their own research, faculty can introduce graduate students to archival research, assign papers to undergraduate students which require the use of the archives, and bring archival resources to the attention of colleagues in other institutions. According to Brichford, "in order of importance, the purposes of faculty uses are: historical research for publications, the completion of dissertations, administrative, for course papers, personal, and classroom use."[11]

The importance of the rules and regulations of the archives is evident, yet the rules require formal transmittal to the user. The rules usually cover identification of the user, behavior in the reading room, specific procedures for handling the materials, literary rights and publication procedures, photocopying privileges, etc. The extent of detailed rules and regulations will largely depend on the size and traffic of the archives, but it is important that rules are codified in order to apply them uniformly to all users. Such rules must be in the hands of the user before he begins his inspection of the material requested.

Through well-developed and organized university archives, research could be undertaken to study such topics as:

[10] William Saffady, "University Archives and Records Management Programs; Some Operational Guidelines," College & Research Libraries 35 (May 1974): 209.

[11] Maynard J. Brichford, "University Archives: Relationships with Faculty," American Archivist 34 (April 1971): 179.

Curriculum change and development reflecting the broadened intellectual dimensions of an institution over a period of time might be analyzed and interpreted from the bulletins, faculty minutes, policy statements, and the various departmental committee reports.

The change in the social structure of the student body might be examined (from enrollment records) in relation to the community in which the institution exists and draws sustenance.

The issue of academic freedom, together with that of political and social freedom of faculty and students, might be studied from events that occurred at an institution in the mid-1930s and the early 1960s.

Many universities, within the past two or three decades, have vastly expanded their programs to the national and international scene. The study of area programs would prove an interesting study in institutional evolution and growth.

The change from private status to that of state relatedness with the attendant ramifications might be studied at a university.

Archival material is collected to be used, and use is facilitated by making the existence of the collections known to potential users. The most obvious method of introducing the archives is through the campus and alumni newspapers. Another method would be a letter by a high official to the academic staff introducing the archives. An attractive publicity brochure might be prepared which would explain what the archives does. The following is an example of publicity brochure information.[12]

The University Archives: How We Can Help You

The Archives serves as the corporate memory of the University. Its function is to document for the future the development of the University and the contribution of many individuals to its growth. What we know of the early days of the University of _____ comes from written records saved carefully or haphazardly since it was founded in ____. Systematic preservation of the most useful of our current records in the Archives will provide material for the historian of the twenty-first century; our generation in its turn will be remembered by the records we keep.

The Archives also serves the present by relieving busy offices of inactive files and by providing a central source of information about University people, events and buildings. In addition, the collection of materials concerning the University constitutes a growing resource for scholarship.

[12]Case Western Reserve University, "The University Archives; How We Can Help You" brochure. Cleveland, 197?.

Background

On _____, the Board of Trustees established the Archives and created the position of University Archivist. The Trustee action included these general statements: (a) records produced by the official activities of University officers are the property of the University; (b) all records of permanent value are to be sent to the University Archives when the responsible University officers determine that they are no longer needed in the office of origination; (c) the University Archives will preserve the personal papers of faculty, administrative officers and members of the governing boards of the University.

Access to Material in the Archives

Conditions of access of material deposited in the Archives may be specified by the originating office, organization, or individual. Any records preserved in the Archives will be available to the originating office at any time. Records in the Archives may be withdrawn for use of the originating office. Otherwise, records are available for use in the Archival Center.

Services

The purpose of preserving records in the Archives is to make them useful to the faculty and staff of the University and available to qualified scholars. Information service is the primary function of the Archives, after preservation. A secondary function of the Archives is to serve persons outside of the University by supplying information or answering casual questions, and such inquiries may be referred to the Archives by any University department.

Unrestricted collections of the University Archives are available to researchers upon request to the Archivist. Students of the University are encouraged to make use of the materials in the Archives for papers and dissertations.

Transfer of Records

Office files should be transferred to the Archives as they have been arranged in use, since their organization reflects the function of the office they represent. In addition to office files, copies of all official publications should be sent to the Archives along with record copies of minutes when a minute book is full or when the work of a special committee has been completed. Programs of institutes or special events, copies of reports and speeches, clippings and other publicity material should be preserved to reflect the work of the University. Curriculum material, such as examinations, course outlines, reading lists, etc., may be accumulated in the departments and transferred to the Archives periodically. Student organizations are encouraged to deposit publications and other records in the Archives so that they will be preserved.

Personal Papers

Most interesting of the collections in the Archives are the personal papers of faculty, trustees and staff, which document the professional achievements of those individuals and the place of the University in the community. Personal papers of faculty and staff members are always welcome and any restriction may be placed on their use by the donor. Individual faculty and staff members are urged to bequeath their personal papers and correspondence to the Archives, or such material may be deposited

in the Archives upon retirement or at any convenient interval. In addition to the usefulness in reflecting the activities of the University, such material will provide a valuable resource for historians in the future.

Of the personal papers of alumni, the Archives is primarily concerned with records of their student years. Programs, scrapbooks, course papers, lecture notes, pictures, etc. contributed to the Archives will be as interesting to historians of the next century as the nineteenth century material is to us. Similarly, records concerned with the University activities of trustees are welcomed by the Archives. There are obviously, however, some special cases where individual alumni and trustees are so closely identified with the University that the whole range of their personal papers is of interest to the Archives.

Arrangements for Transferring Material

To discuss transfer of material to the Archives, or for any other Archives service, please call the Archivist, _____, at _____, or write to the University Archives, _____.

PLANNING FOR AN ARCHIVAL FACILITY

The planning of archival space was a workshop at a recent meeting of the Society of American Archivists. A report of the workshop indicated that the planning of a new archival facility really must start with the archives staff. The reason for this is because the staff knows how they operate and what they need, what the workload is, the size of the collection and what the future size of the collection and the workload is likely to become. The function of the architect is to draw floor plans, but before this can be done the archivist must express simply and concisely just what the archives does and what its needs are. "Ideally, there should be no references to conventional measures of planning, such as 'square foot area' and 'room' because these items tend to restrict the architect's solutions. It is far better to outline the requirements of each activity (high security, visual control but audio privacy, clearance for special equipment, for example) and allow the architect the freedom to solve these requirements creatively rather than to usurp the architect's prerogative by assuming that a room with a locked door is the only solution for high security space. What the archives

ideally should be can be developed also, giving the architect a standard against which he can evaluate the adequacy of his solution. In brief, the archivist needs to communicate a wealth of information about the archival process to the architect, and this is easily done by preparing a written performance specification that can provide the basis from which the architectural program is developed."[13]

The following checklist, prepared by the SAA Committee on Buildings and Technical Equipment, will give some idea of the things an archivist must consider before becoming involved with an architect.

Checklist of Archival Building Needs[14]

General. What is the purpose of the organization? Who are the clientele? What do they want? How do they want it? How frequently do the different groups come?

General Building. What need is there for protection against fire, flood, natural disaster, air pollution, special climatic conditions, security problems?

Receiving. What kind of material comes in? How much comes at a time? How is it shipped and packaged? Who receives it? Does it need to have security arrangements? How does material travel to processing or storage? Does it need to be fumigated prior to storage?

Processing. How many staff use this area? What kinds of materials do they process? What are their requirements with regard to space/storage, working tools, equipment, supplies, noise/privacy, lighting? Are there special processing requirements for photos, maps, tapes, microfilm, etc.?

Repair. What kinds of repairs are made? How large a function is this? How many staff are involved? What kinds of equipment required/desired? What kind of storage space needed while repair in process?

Use.--Reading Room. What is the average number of patrons/day? What kinds of materials used most heavily? Is there ease of access to catalogs & indexes for patrons, for staff? Is there a need for security arrangements? Is there a reference collection? Who retrieves materials?

[13]John F. Christian and Shonnie Finnegan, "On Planning an Archives," American Archivist 37 (October 1974): 573-574. Christian is a consultant in environmental design and user needs and Finnegan is university archivist, SUNY at Buffalo. Their paper was prepared in cooperation with the SAA Committee on Buildings and Technical Equipment.

[14]Ibid., pp. 577-578.

are stacks convenient to reference staff? Is there a need for microfilm readers, audiovisual equipment? Is there need for copying (Xerox, etc.) equipment for use by clientele?

Stacks. What amount of material is stored? What types of material are stored? What is the growth pattern? What is the provision for expansion? Is there need for security arrangements? Is there need for the shelves to be fixed, mobile, record center, library, etc.? Is there need for the stacks to be environmentally controlled? What is backlog stored?

Administrative. Which staff requires offices? What amount of privacy is required? Can offices be shared? What is accessible to other staff, donors, and patrons? Should processing supervisors have private offices in the processing area?

Other. What are the needs for meeting rooms, exhibit area, supply-storage area, recording studio, oral history listening area, photo dark-room/studio, vault, staff lounge, smoking area?

The selection of equipment is one of the most important steps in planning a new archival building or the renovation of an existing building. A few comments will be made on shelving and office furniture because of their close relationship to the planning and successful operation of an archival center. The stack area is really the core of an archival center so the selection of the most appropriate shelving is of extreme importance. In order to determine the shelving needs, the archivist must take into consideration the media types which the archives is likely to house---paper documents of "regular" size, punched cards, invoices, maps, blueprints, microforms, photographs, magnetic-tape media. There are similarities between the selection of shelving and the selection of the furnishings for the archival staff work areas because, like shelving, the furnishings should be suited to the archives' operations. A well-equipped staff work area is just as vital to the successful operation of an archival center as a well-equipped stack area. A well-planned and equipped building will go a long way toward helping to provide a successful archival program on a university campus.

APPENDIX: Terminology[15]

ACCESSION. The act and procedures involved in a transfer of legal title and the taking of records or papers into the physical custody of an archival agency, records center, or manuscript repository.

ADMINISTRATIVE VALUE. In appraisal, the usefulness of records to the originating or succeeding agency in the conduct of current business.

APPRAISAL. The process of determining the value and thus the disposition of records based upon their current administrative, legal, and fiscal use; their evidential and informational or research value; their arrangement; and their relationship to other records. Sometimes referred to as selective retention.

ARCHIVAL INTEGRITY. The standard that requires that archival holdings be identified and arranged by provenance, maintained in their original filing order, and preserved in their entirety without mutilation, alteration, or unauthorized destruction of any part of them.

ARCHIVES. (1) The noncurrent records of an organization or institution preserved because of their continuing value; also referred to, in this sense, as archival materials or archival holdings. (2) The agency responsible for selecting, preserving, and making available archival materials; also referred to as an archival agency. (3) The building or part of a building where such materials are located; also referred to as an archival repository.

ARRANGEMENT. The process and results of organizing archives, records, and manuscripts in accordance with accepted archival principles, particularly provenance, at as many as necessary of the following levels: repository, record group or comparable control unit, subgroup(s), series, file unit, and document. The process usually includes packing, labeling, and shelving of archives, records, and manuscripts, and is intended to achieve physical or administrative control and basic identification of the holdings.

CALENDAR. A chronological list of individual documents, either selective or comprehensive, usually with a description giving one or more of the following: writer, recipient, date, place, summary of content, type of manuscript, and page or leaf count.

DESCRIPTION. The process of establishing intellectual control over holdings through the preparation of finding aids.

FINDING AIDS. The descriptive media, published and unpublished, created by an originating office, an archival agency, or manuscript repository, to establish physical or administrative and intellectual control over records and other holdings. Basic finding aids include guides (general or repository and subject or topical), inventories or registers, location registers, card catalogs, special lists, shelf and box lists, indexes, calendars, and, for machine-readable records, software documentation.

FONDS. A term widely used in Europe to designate for control purposes the archives of a particular type of institution or organization; a term comparable to the concept of a record group.

GUIDE. At the repository level, a finding aid that briefly describes and indicates the relationships between holdings, with record groups, papers, collections, or comparable bodies of material as the units of entry. Guides may also be limited to the description of the holdings of one or more repositories relating to particular subjects, periods, or geographical areas.

INVENTORY. A basic archival finding aid that generally includes a brief history of the organization and functions of the agency whose records are being described; a descriptive list of each record series giving as a minimum such data as title, inclusive dates, quantity, arrangement, relationships to other series, and description of significant subject content; and, if appropriate, appendices which provide such supplementary information as a glossary of abbreviations and special terms, lists of folder headings on special subjects, or selective indexes.

MANUSCRIPT COLLECTION. (1) An artifical accumulation of manuscripts or documents devoted to a single theme, person, event, or type of record. (2) A body of manuscripts or papers, including associated printed or near-print materials, having a common source. If formed by or around an individual or family, such materials are more properly termed personal papers or records. If the cumulation is that of a corporate entity, it is more properly termed records. (3) In singular or plural form the total holdings --accessions and deposits--of a repository.

MANUSCRIPTS. Documents of manuscript character usually having historical or literary value or significance. All manuscript records may thus be regarded as manuscripts, but generally the term is used to distinguish non-archival material. Included in the term are bodies or groups of personal papers with organic unity, artifical collections of documents acquired from various sources usually according to a plan but without regard to provenance, and individual documents acquired by a manuscript repository because of their special importance.

PAPERS. (1) A natural accumulation of personal and family materials, as distinct from records. (2) A general term used to designate more than one type of manuscript material.

PROCESSING. The activities intended to facilitate the use of personal papers and manuscript collections generally comparable to arrangement, description, and preservation of archival material.

PROVENANCE. (1) In general archival and manuscript usage, the "office of origin" of records, i.e., that office or administrative entity that created or received and accumulated the records in the conduct of its business. (2) In archival theory, the principle that archives of a given record creator must not be intermingled with those of other record creators. The principle is frequently referred to be the French expression, respect des fonds. A corollary, frequently designated as a separate principle, is the Principle of Sancitity of the Original Order.

RECORD. (1) Recorded information regardless of media of characteristics. (2) In machine-readable records/archives, two or more data fields in predetermined order and treated as a unit.

RECORD GROUP. A body of organizationally related records established on the basis of provenance with particular regard for the administrative history, the complexity, and the volume of the records and archives of the institution or organization involved. Collective and general record groups represent modification of this basic concept for convenience in arrangement, description, and reference service.

SERIES. File units or documents arranged in accordance with a filing system or maintained as a unit because they relate to a particular subject or function, result from the same activity, have a particular form, or because of some other relationship arising out of their creation, or use. Sometimes known as a record series.

SUBGROUPS. A body of related records within a record group, usually consisting of the records of a primary subordinate administrative unit. Subgroups may also be established for related bodies of records within a record group that can best be delimited in terms of functional, geographical, or chronological relationships. Subgroups, in turn, are divided into as many levels as are necessary to reflect the successive organizational units that constitute the hierarchy of the subordinate administrative unit or that will assist in grouping series entities in terms of their relationships.

SUBSERIES. An aggregate of file units within a record series readily separable in terms of physical class, type, form, subject or filing arrangement.

[15]Frank B. Evans, Donald F. Harrison, and Edwin A. Thompson, comps., and William L. Rofes, ed., "A Basic Glossary for Archivists, Manuscript Curators, and Records Managers," American Archivist 37 (July 1974):415-33.

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